



STATE  
OF  
GEORGIA

Application for  
RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE  
DEPARTMENT OF ARCHIVES & HISTORY  
RECORDS MANAGEMENT DIVISION

1. Application Date <b>3/12/73</b>	INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.	FOR RECORDS MANAGEMENT DIVISION USE	
2. Agency Application No.		Date Received <b>MAR 22 1973</b>	Date Completed <b>MAR 27 1973</b>
3. AGENCY, Division, Subdivision & Administering Office Address Department of Transportation Division of Highways - Federal Liaison Section No. 2 Capitol Square - Room 279 Atlanta, Georgia		4. Person to Contact  Doris M. Elrod	5. Working Title Accounting Assistant
		6. Tel. No. 656-5250	

7. ACTION REQUESTED

☒ ESTABLISH DISPOSITION STANDARD;  
RECORD WILL CONTINUE TO ACCUMULATE.

☐ DISPOSE OF PRESENT ACCUMULATIONS;  
NO FURTHER ACCUMULATION ANTICIPATED.

8. Earliest & Latest Dates of Series

1964 - To Date

9. Exact Series Title

Prequalification of Contractors File

10. What is the function of the office in which this record series is created

The Division of Highways is responsible for the planning, location, design, construction and maintenance of all roads and bridges on the State Highway System. This includes: Highways and bridge construction, the inspection and testing of materials used in building and maintaining highways, issuing permits and enforcing compliance of overweight and overdimensional rules and regulations for the movement of vehicles on the State Highway System, acquisition of all rights-of-way, vehicular and pedestrian traffic control, location and aerial surveys, preparation of construction plans and specifications, and the location of public utilities as related to the State Highway System.

11. This file contains the following documents (include form numbers and titles, if any, and file arrangement):

See Attached Page.

ATTACH SAMPLES OF THE FILE

12. EQUIPMENT OCCUPIED	No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	No. of Drawers Cu. Ft. of Records			
				In Office(s)	In Storage Area(s)		
Letter-size File Drawers	42	63	Floor Space Occupied (Square Feet)	1	1.5		
Legal-size File Drawers				56	-	-	
			AVERAGE DAILY REFERENCES	This Year's	Last Year's	Preceding Year's	All Prior Year's
				30	30	30	

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

YES NO

13. Is this the Record Copy of the series? [X] [ ]
14. Is there a duplication of this series in another office or agency? [ ] [X]
15. Is the information contained in this series ever summarized or published? Attach copy of summary or publication. [X] [ ]
16. Does the series contain classified information requiring security handling? [X] [ ]
17. Does the series initiate, amend or terminate agency policies and procedures? [ ] [X]
18. Could the function be performed if the files were lost or destroyed? [ ] [X]
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? [ ] [X]
20. Does the record series provide data as input to an EDP file? [X] [ ]
21. Does the record series contain documentation produced as EDP printout? [ ] [X]
22. Has the Federal Government issued instructions governing retention/disposition of these files? [X] [ ]
23. Will there be a need for these records 10, 15 years from now? If yes, what? [ ] [X]

24. REQUIREMENTS. The following requires the files to be kept 10 years:

- a. [ ] STATE LAW b. [ ] STATUTE OF LIMITATION c. [ ] AUDIT PERIOD d. [ ] FEDERAL LAW e. [X] ADMINISTRATIVE DECISION f. [ ] HISTORICAL VALUE
- (Cite Law, Statute, or other reason for the retention requirement)

25. AGENCY RECOMMENDATIONS: This agency recommends that the file series be cut off at the end of each

- [ ] CALENDAR YEAR - [ ] FISCAL YEAR - [X] Other Contractor's Prequalification then: Renewal Date

Other:

Applications for Prequalification: hold in current files area 3 years; then destroy.

Contractor's Past Performance Report: hold in current files area 3 years; then destroy.

Contractor's Rating Sheet: hold in current files area 10 years; then destroy.

Certification of Contractor's Current Capacity: maintained for firms submitting low bid only. Hold in current files area until project finalized; then destroy.

Certification of Subcontractor's Current Capacity: hold in current files area until project finalized; then destroy.

Status of Contracts on Hand: hold in current files area until construction of project completed; then destroy.

Attach Samples of the Series			Records Management Officer	Date
26. Recommendations	[X] Approved [ ] Disapproved	Head of Agency/Designee	<i>W. Bradford</i>	3/9/73
in Paragraph	[X] Approved [ ] Disapproved	Department of Audits/Designee	<i>William M. Hagan</i>	3-23-73
25 are:	[X] Approved [ ] Disapproved	Secretary of State/Designee	<i>Carroll Hart</i>	3-21-73
	[X] Approved [ ] Disapproved	Department of Law/Designee	<i>Robert H. Hagan</i>	3-26-73

11. This file contains the following documents:

Documents relating to the prequalification of contractors for bidding on and sub-contracting work performed on state highway construction projects.

Included are:

Applications for Prequalification - Contractor's Financial Statement (Form DOT 477)  
Application and Questionnaire (Form DOT 478)

Contractor's Past Performance Report - Contractor's Past Performance Report  
(Form DOT 479)  
Correspondence relating to contractor's  
performance

Contractor's Rating Sheets - Summary of Financial Data (Form DOT 476)  
Recommended Contractor's Ability Factor and Work  
Classification (Form DOT 480)  
Contractor's Rating and Classification (Form DOT 481)  
Certificate of Qualification (Form DOT 482)

Certification of Contractor and Subcontractor's Current Capacity -  
Certification of Contractor's Current Capacity  
(Form DOT 483)  
Certification of Subcontractor's Current Capacity  
(Form DOT 483S)

Status of Contracts on Hand - Status of Contracts on Hand (Form DOT 484)  
(Form DOT 484 is completed by both the contractors and  
subcontractors)

The file is arranged alphabetically by name of contractor.

### Prequalification of Contractors File

#### Explanation of Yes Answers to Questions 14-23

- 15. A list of prequalified contractors is published semi-annually.
- 16. The financial information obtained from contractors is confidential.
- 20. The Office of Contracts Administration prepares an EDP file that lists prequalified contractors. The data for this file is obtained in part from the Prequalification of Contractors File.
- 22. Federal Highway Administration Policy & Procedure Memorandum 30-9 states that contract records, including prequalification of prospective bidders and qualification of low bidders, must be retained 3 years after FHWA final payment of the project.

Note: If a company goes out of business or sells and is operating under entirely new management, all records, except the Rating Sheets, are destroyed. The Rating Sheets are maintained until all work the firm had under contract has been finished.

Rationale: The retention requirements for this series were established by the Department of Transportation Prequalification Committee March 17, 1971 and approved by the Federal Highway Administration April 1, 1971. Since Federal retention requirements for these records are specified in FHWA PPM 30-9, it was necessary to obtain the Federal Highway Administration's approval. The retention requirements satisfy Federal & Administrative requirements.